

12/28/00

12/28/00 U.S. PTO

01-02-01

PTO/SB/05 (08-00)

A/Box SEQ

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

Bayer 9998, 2

First Inventor

A. STEINBUCHER

Title

SYNTHETIC ENZYMES FOR THE
PRODUCTION OF CONIFERYL ALCOHOL

Express Mail Label No.

EL 767491022 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing) 2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification [Total Pages 121]
(Preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Detailed Description of the Drawings (if filed)
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. ☒ Oath or Declaration [Total Pages 2]
a. ☐ Newly executed (original or copy)
b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(For continuation/divisional with Box 17 completed)
i. ☐ DELETION OF INVENTOR(S)
Signed Statement attached deleting inventor(s)
Named in the prior application, see 37 CFR 1.63 (d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☒ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☒ Computer Readable Forms (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☒ paper
c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Paper (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(When there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS Citations
Statement (IDS)/PTO-1449
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(If foreign priority is claimed)
16. ☐ Other _____

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: 08/976,063

Prior application information: Examiner P. Tung Group / Art Unit: 1652

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Victoria M. Malia				
Address	Norris McLaughlin & Marcus, P.A. 220 East 42 nd Street - 30 th Floor				
City	New York	State	New York	Zip Code	10017
Country	USA	Telephone	212-808-0700	Fax	212-808-084
Name (Print/Type)	Victoria M. MALIA		Registration No. (Attorney/Agent)	39,359	
Signature	Victoria M. malia		Date	December 28, 2000	

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**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

Complete if Known

Application Number	Div. of 08/976,063 filed 21 Nov. 1997
Filing Date	28 December 2000
First Named Inventor	A. Steinbuchel
Examiner Name	To be assigned
Group Art Unit	To be assigned
Attorney Docket No.	Byaer 9998.2

TOTAL AMOUNT OF PAYMENT**\$950.00****METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

14-1263

Deposit
Account
Name

Norris, McLaughlin & Marcus

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status
See 37 CFR § 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1)			\$710.00

2. EXTRA CLAIM FEES

Extra Claims		Fee from below	Fee Paid
Total Claims	13 - 20** = 0	X 0.00 =	0.00
Independent Claims	6 - 3** = 3	X 80.00 =	240.00
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 80	202 40	Independent claims in excess of 3	
104 270	204 135	Multiple dependent claim, if not paid	
109 80	209 40	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			\$240.00

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non - English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR § 1.17(q)	
126 180	126 180	Submission of Information Disclosure Statement	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)**SUBMITTED BY**

Name (Print/Type)	Victoria M. Malia	Registration No. (Attorney/Agent)	39,359	Telephone	212-808-0700
Signature	Victoria M. Malia			Date	28 December 2000

Complete (if applicable)

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

12/28/00

Jc960 U.S. PTO

09750986 122200

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **A. STEINBUCHER ET AL.**

Docket No.

Bayer 9998.2

Serial No.

To be assigned

Filing Date

December 28, 2000

Examiner

To be assigned

Group Art Unit

To be assigned

Invention:

**SYNTHETIC ENZYMES FOR THE PRODUCTION OF CONIFERYL ALCOHOL,
CONIFERYLALDEHYDE, FERULIC ACID, VANILLIN AND VANILLIC ACID AND THEIR USE**

Jc914 U.S. PTO

09/750986



12/28/00

I hereby certify that the following correspondence:

**Utility Patent Application Transmittal form; Fee Transmittal form (in duplicate); Specification, Claims, Abstract,
Declaration and Power of Attorney; Communication with one sheet of formal drawings; Sequence Listings (printed
and electronic); Preliminary Amendment; Information Disclosure Statement with Form PTO-1449***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

December 28, 2000*(Date)***Lucy Weg***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***EL 767491022 US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**